

75-08-02

2874

## TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT

(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.

UC97-156-8

In Re Application Of: SOLGAARD, O. ET AL.

MAY 06 2002

Serial No.  
09/849,096Filing Date.  
MAY 4, 2001

Examiner

Group Art Unit  
2874

Title: MULTI-WAVELENGTH CROSS-CONNECT OPTICAL SWITCH

Address to:

Assistant Commissioner for Patents  
Washington, D.C. 20231

## 37 CFR 1.97(b)

1.  The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application; within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or before the mailing date of a first Office Action on the merits, whichever event occurs last.

## 37 CFR 1.97(c)

2.  The Information Disclosure Statement submitted herewith is being filed after three months of the filing of a national application, or the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or after the mailing date of a first Office Action on the merits, whichever occurred last but before the mailing date of either:

1. a Final Action under 37 CFR 1.113, or
2. a Notice of Allowance under 37 CFR 1.311,

whichever occurs first.

Also submitted herewith is:

a certification as specified in 37 CFR 1.97(e);

OR

the fee set forth in 37 CFR 1.17(p) for submission of an Information Disclosure Statement under 37 CFR 1.97(c).

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT  
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
UC97-156-8

In Re Application Of: SOLGAARD, ET AL.  
MAY 06 2002

Serial No. 09/849,096 Filing Date MARCH 20, 2001

Examiner

Group Art Unit  
2874

Title: MULTI-WAVELENGTH CROSS-CONNECT OPTICAL SWITCH

Payment of Fee

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

A check in the amount of \_\_\_\_\_ is attached.

The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. \_\_\_\_\_ as described below. A duplicate copy of this sheet is enclosed.

Charge the amount of \_\_\_\_\_  
 Credit any overpayment.  
 Charge any additional fee required.

Certificate of Transmission by Facsimile\*

I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (Fax. No. \_\_\_\_\_) on \_\_\_\_\_  
(Date)

Signature

Typed or Printed Name of Person Signing Certificate

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I certify that this document and fee is being deposited on \_\_\_\_\_ with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Signature of Person Mailing Correspondence

Typed or Printed Name of Person Mailing Correspondence

\*This certificate may only be used if paying by deposit account.

Signature

Dated: May 6, 2002

JOHN P. O'BANION, REG. NO. 33,201  
O'BANION & RITCHIE LLP  
400 CAPITOL MALL, SUITE 1550  
SACRAMENTO, CA 95814  
(916) 498-1010

CC:

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**

Applicant(s): SOLGAARD, O. ET AL.

Docket No.

UC97-156-8

Serial No.  
09/849,096Filing Date  
MAY 4, 2001

Examiner

Group Art Unit  
2874

Invention: MULTI-WAVELENGTH CROSS-CONNECT OPTICAL SWITCH

MAY 06 2002

I hereby certify that the following correspondence:

**Information Disclosure Citation (Page 1)**

(Identify type of correspondence)

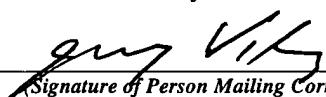
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May 6, 2002

(Date)

**Jerry V. King**

(Typed or Printed Name of Person Mailing Correspondence)



(Signature of Person Mailing Correspondence)

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Applicant(s): SOLGAARD, O. ET AL.

Docket No.

UC97-156-8

Serial No.  
09/849,096Filing Date  
MAY 4, 2001

Examiner

Group Art Unit  
2874Invention: **MULTI-WAVELENGTH CROSS-CONNECT OPTICAL SWITCH**

I hereby certify that the following correspondence:

**Transmittal of Information Disclosure Statement Under 37 CFR 1.97(c) (Page 1 & 2)***(Identify type of correspondence)*

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May 6, 2002*(Date)*Jerry V. King*(Typed or Printed Name of Person Mailing Correspondence)**(Signature of Person Mailing Correspondence)*EL737163624US*("Express Mail" Mailing Label Number)*

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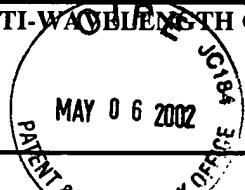
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Group Art Unit  
2874Invention: **MULTI-WAVELENGTH CROSS-CONNECT OPTICAL SWITCH**

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May 6, 2002*(Date)***Jerry V. King***(Typed or Printed Name of Person Mailing Correspondence)*

A handwritten signature of Jerry V. King.

*(Signature of Person Mailing Correspondence)***EL737163624US***("Express Mail" Mailing Label Number)***Note: Each paper must have its own certificate of mailing.**

STATEMENT UNDER 37 CFR 1.97(e) ACCOMPANYING  
INFORMATION DISCLOSURE STATEMENT

Docket No.  
UC97-156-8

In Re Application Of:

SOLGAARD, O. ET AL.

Serial No.  
09/849,096

Filing Date  
MAY 4, 2001

Examiner

Group Art Unit  
2874

Invention: MULTI-WAVELENGTH CROSS-CONNECT OPTICAL SWITCH

MAY 06 2002

PATENT & TRADEMARK OFFICE  
U.S. DEPARTMENT OF COMMERCE

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

This is a statement under the provisions of 37 CFR 1.97(e) in the above-identified application.

Check applicable statement herebelow:

Statement Under 37 CFR 1.97(e)(1)

Each item of information contained in the accompanying information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement.

Statement Under 37 CFR 1.97(e)(2)

No item of information contained in the accompanying information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned person, after making reasonable inquiry, no item of information contained in the accompanying information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement.

  
Signature

Dated: May 6, 2002

JOHN P. O'BANION, REG. NO. 33,201  
O'BANION & RITCHIE LLP  
460 CAPITOL MALL, SUITE 1550  
SACRAMENTO, CA 95814  
(916) 498-1010

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*Typed or Printed Name of Person Mailing Correspondence*

cc:

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I hereby certify that the following correspondence:

**Statement Under 37 CFR 1.97(e) Accompanying Information Disclosure Statement (Page 1)**

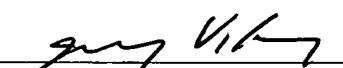
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